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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 0756-1896

First Inventor or Application Identifier: Hisashi OHTANI et al.

Title: SEMICONDUCTOR DEVICE AND PROCESS FOR PRODUCING THE SAME

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification Total Pages [44]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) Total Sheets [12]
4. ☒ Oath or Declaration Total Pages [5]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
(Note Box 5 below)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement ☐ Copies of IDS
(IDS)/PTO-1449 Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ *Small Entity ☐ Statement filed in prior application,
Statement(s) Status still proper and desired
(PTO/SB/09-12)
15. ☒ Certified Copies of Japanese Priority Application
Nos. 9-344350 and 10-018050
(if foreign priority is claimed)
16. ☐ Other:

*A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
Prior application information: Examiner: _____ Group/Art Unit: _____

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name: Gerald J. Ferguson, Jr.
Firm: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, P.C.
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City: McLean State: VA
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Name: Gerald J. Ferguson, Jr.

Registration No. 23,016

Signature

Date: November 23, 1998

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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FEE TRANSMITTAL		Complete If Known					
<i>Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</i>		Application Number					
		Filing Date		November 23, 1998			
		First Named Inventor		Hisashi OHTANI et al			
		Examiner Name					
		Group Art Unit					
TOTAL AMOUNT OF PAYMENT		\$2,488.00	Attorney Docket Number		0756-1896		
METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)					
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account No. 19-2380 Deposit Account Name: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, PC <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance 2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other		3. ADDITIONAL FEES					
		Large Entity Small Entity					
		Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
		105	130	205	65	Surcharge-late filing fee or oath	
		127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
		139	130	139	130	Non-English specification	
		147	2,520	147	2,520	For filing a request for reexamination	
		112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
		115	110	215	55	Ext for reply within first month	
		116	400	216	200	Ext for reply within second mth	
		117	950	217	475	Ext for reply within third mth	
		118	1,510	218	755	Ext for reply within fourth mth	
		128	2,060	228	1,030	Ext for reply within fifth month	
		119	310	219	155	Notice of Appeal	
		120	310	220	155	Filing brief in support of appeal	
		121	270	221	135	Request for Oral Hearing	
		138	1,510	138	1,510	Petition to institute public use proceeding	
		140	110	240	55	Petition to revive-unavoidable	
		141	1,320	241	660	Petition to revive-unintentional	
		142	1,320	242	660	Utility issue fee (or reissue)	
		143	450	243	225	Design issue fee	
		144	670	244	335	Plant issue fee	
		122	130	122	130	Petitions to the Commissioner	
		123	50	123	50	Petitions related to provisional applications	
		126	240	126	240	Submission of IDS	
		581	40	581	40	Recording each patent assignment per property (times number of properties)	\$40.00
		146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))	
		149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))	
		Other _____					
		Other _____					
		*Reduced by Basic Filing Fee Paid					
SUBTOTAL (1)						SUBTOTAL (3)	\$40.00
\$760.00							
1. BASIC FILING FEE							
Large Entity Small Entity							
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid		
101	760	201	380	Utility filing fee	[]		
106	330	206	165	Design filing fee	[]		
107	540	207	270	Plant filing fee	[]		
108	790	208	395	Reissue filing fee	[]		
114	150	214	75	Provisional filing fee	[]		
SUBTOTAL (2)						\$1,688.00	
2. EXTRA CLAIM FEES							
Total Claims		Extra Claims		Fee from Below		Fee Paid	
69		20** = 49		X \$18.00 = \$882.00			
Independent Claims		10		3** = 7		X \$78.00 = \$546.00	
Multiple Dependent Claims				\$260.00 = \$260.00			
**or number previously paid, if greater, For Reissues, see below							
Large Entity		Small Entity					
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description			
103	18	203	9	Claims in excess of 20			
102	78	202	39	Independent claims in excess of 3			
104	270	204	135	Multiple dependent claim			
109	82	209	41	**Reissue independent claims over original patent			
110	22	210	11	**Reissue claims in excess of 20 and over original patent			
SUBTOTAL (2)						\$1,688.00	
SUBMITTED BY		Complete (if applicable)					
Typed or Printed Name		Gerald J. Ferguson, Jr.				Reg. Number	23,016
Signature		Date		November 23, 1998		Deposit Account User ID	19-2380

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